CHARTER

Laboratory Director's Advisory Council
On Integrated Assurance

Fermi National Accelerator Laboratory

1.0 Introduction

In its proposal for the contract to manage and operate Fermi National Accelerator Laboratory (Fermilab), Fermi Research Alliance, LLC (FRA) proposed to the U.S. Department of Energy (DOE) that the Laboratory Director would establish an "Advisory Council on Integrated Assurance"(AC) representing a broad spectrum of senior Laboratory management experience and expertise to advise and assist the Director on the full range of integrated assurance matters involving FRA's performance of the Fermilab contract, specifically including Laboratory compliance with the requirements of Contract Clause H.13 "Contractor Assurance System", and Director's Policy, Assurance Program – No. 39, Revision 000.

2.0 Purpose

The purpose of the AC is to serve as a mechanism to assure the Laboratory Director, and in turn to allow the Director to provide assurances to DOE, the CAS committee of the FRA Board of Directors and the full Board of Directors, that sufficient internal control and oversight systems are in place and are operating properly at Fermilab. The AC assures that these systems promptly identify deficiencies and opportunities for improvement, report deficiencies to the responsible Laboratory managers, DOE and other authorities, and implement corrective actions in a timely and effective manner. The AC identifies risk that occurs in the operation of the laboratory. Mitigation of risk occurs through the advice of the AC to the Director of the laboratory with recommended actions. To achieve this purpose, AC activities will include periodically assessing the sufficiency of, and compliance with, assurance and oversight systems and policies developed by the Laboratory, periodically reviewing the results of internal and external assessments to ensure that appropriate corrective actions are being implemented and advising the Director on the status of all programs.

3.0 Membership

The Fermilab Chief Operating Officer (COO) shall be a member and shall serve as the Chairperson of the AC. The Head of the Office of Quality and Best Practices (OQBP)

shall also be a member and serve as the AC Secretary, and shall provide or arrange for administrative and, as necessary, technical support for the AC. The COO may also appoint, with the approval of the Laboratory Director, additional members of the AC in order to provide a broad range of management and technical expertise. Ex-officio members shall include the Director, Deputy Director, and the Head of Internal Audit. The General Counsel for the laboratory shall serve as an advisor. The COO may also establish committees or working groups from the membership of the AC, and may task others who are not members of the AC to provide support to the AC or its committees and working groups.

4.0 Responsibilities and Duties

4.1 It is the responsibility of each AC member to become familiar with the policies and requirements set forth in the Fermilab prime contract clause H.13-Contractor Assurance System and in such other directives and requirements as may be identified by the Chairperson or the Secretary of the AC. See list in Appendix 1.

4.2 The AC shall provide advice to the Laboratory Director as to the sufficiency of Laboratory assurance systems and reporting processes in connection with the preparation of formal assurance statements that the Director and the Chairman of the Board must provide to DOE or such other matters as the Director may request.

4.3 Using the assistance of the OQBP provided technical or quality specialists where necessary, the AC shall undertake an ongoing program designed to identify adequacy of and deficiencies in existing assurance processes as well as evolving "best practices," and inform Laboratory organizations necessary changes in the processes.

4.4 The AC shall receive, monitor and report the disposition of recommendations and directions from the Board of Directors at each meeting of the Board of Directors.

4.5 In connection with the conduct of its business, the AC shall meet regularly (normally once a month, and more frequently if determined necessary by the Chairperson) for the primary purposes of discussing the progress of ongoing AC work, of reaching agreement or consensus on final reviews or recommendations by the AC, and of planning for future AC activities. Members may assign a designee to attend meetings that they are unable to attend due to illness or schedule conflicts. Attendance at AC meetings by other than members, their designees, the Laboratory Director, or the Deputy Director will be by invitation of the Chairperson or the Laboratory Director only.

5.0 Procedures

5.1 The AC shall develop and have OQBP regularly update a list of matters to be tracked by the AC (e.g., recommendations and directions from the board of Directors, audit/review findings and resulting action plans, status of performance measures, assurance reporting requirements to DOE, etc.).

5.2 The AC shall adopt a methodology for tracking items to be reviewed by the AC.

5.3 The AC shall regularly review the information on tracked items and promptly advise the Laboratory Director on significant adverse developments such failure to meet schedules or milestones, or trends or patterns of poor performance or other deficiencies, including an assessment of the risk to the performance of Laboratory missions which such adverse developments may present.

5.4 The Chairperson of the AC shall consult with the Laboratory Director with respect to such matters as when reviews or other activities of the AC are to be completed, in what format a particular AC work product should be prepared, and whether a particular AC work product is to reflect a consensus position, the view of a simple majority of AC members, or some other method of ascertaining the AC position. Unless the Laboratory Director has otherwise advised the Chairperson, the method of ascertaining the AC position on a particular matter must involve the participation of at least two-thirds of the AC membership (members or designees) at the time of deliberations.

5.5 The AC shall develop a process to document the reviews and other work performed by the AC and the corrective actions taken as a result of AC reviews so that such may be readily and easily accessed by DOE and other reviewers.

6.0 Changes to the Charter

This Charter shall be periodically reviewed by the Laboratory Director and by the AC to ensure its provisions comport with applicable or evolving policies and requirements. The AC may recommend that changes be made to this Charter, but only the Laboratory Director has authority to direct or approve changes to this Charter.

7.0 Appendix 1: Reference DOE Orders and CFRs

- DOE Order 151.1C, Comprehensive Emergency Management System
- DOE Order 205.1A, Department of Energy Cyber Security Management Program
- 10 CFR 851, Worker Safety and Health Program; the Integrated Safety Management System requirements prescribed in DOE Order 231.1A Environmental, Safety and Health Reporting; DOE Policy 450.4; and DOE M 450.4-1, Integrated Safety Management Systems Manual
- DOE O 470.2B, Independent Oversight and Performance Assurance Program, Attachment 2
- DOE O 413.1A, Management Control Program
- DOE Order 414.1C, Quality Assurance